

UNITED STATES INTELLIGENCE BOARD
SECURITY COMMITTEE

A STUDY OF PROVOCATIONS
AND HARRASSMENTS AGAINST U. S. CITIZENS
IN SOVIET/SATELLITE COUNTRIES

SECRET
NO FOREIGN DISSEM

This is the first attempt to conduct a composite study limited to Provocations and Harassments with the input coming from all affected members of the intelligence community. The purpose of this study is to provide an assist to the individual member Agencies/Departments in preparing their respective Defensive Briefings of personnel being assigned to Soviet/Satellite countries. Since it is believed that each member Agency/Department has its own unique problems, no attempt will be made to prepare a uniform Defensive Briefing paper although the need for such a briefing is most evident based on the following:

The KGB (and specifically its Second Chief Directorate), as is well-known, is so organized that no part of Soviet Society and no individual, indigenous or foreign, escapes its attention. As the action arm of the ruling party in a one party totalitarian state, it controls, directly or indirectly, the vast resources of the state; huge networks of informants penetrate and monitor the activities of all aspects of society, intellectual circles, industrial establishments, scientific institutions, persons travelling abroad or having contacts of any sort abroad. It controls the hotels, the trains, the police, the borders and censorship. The KGB can use the almost unlimited facilities and the people of the USSR, largely as it chooses since its purpose to preserve the regime transcends all others. Its own personnel consider the system as perfect. Within this defensive system foreigners, as a special danger, get special attention, whether they are tourists, journalists, scientists, or students. And one essential point must be kept in mind with foreigners: The KGB's aim is not primarily to protect the regime against spies, but to recruit these foreigners as agents.

Group 1
Excluded from automatic
downgrading and
declassification

For the purposes of this study it may be considered that the above is likewise applicable in general to the satellite countries.

It should be noted that the terms of reference which were adhered to for this study did not include any incidents outside the geographical limits of the Soviet/Satellite countries. The definitions used for the purpose of this study are as follows:

PROVOCATION - Any action taken against a person, group or intelligence service to induce him or it to take self-damaging action. The provocation operation is most often the prelude to the recruitment pitch. The actual recruitment pitch will not be taken up in this study.

HARASSMENT - Any action taken against a person or group to prevent or delay the achievement of the person's or group's objective. The action may be of an inconsequential or annoying nature escalating to one of major proportions. The harassment may also be a prelude to a provocation.

An analysis of the specific nature of the provocations and harassments reflects that they are as varied in their details and severity as the imaginations of the Soviet/Satellite services can make them. Some of the more interesting examples are set forth briefly as follows:

Provocations

1. The use of sex including heterosexual or homosexual advances leading to entrapment.

2. The attempt to buy or sell items which would be considered "black marketing."

3. The offer to buy or exchange local currency for U. S. dollars.

4. The requests from indigenous persons for foreign magazines and books which the authorities could label politically unsuitable or pornographic.

5. The request to mail or deliver what appears to be an innocuous envelope, package, manuscript, note, etc.

6. The volunteering by indigenous persons to commit acts of espionage, statements suggesting disaffection with the regime, requests for clandestine meetings, etc.

Harassments

1. The reservations for flights, made in advance, are cancelled at the last moment.

2. The hotel reservations made in advance are found to be non-existent upon arrival.

3. The secret police force their way into hotel rooms, physically restrain occupants and search rooms.

4. The air is let out of tires of vehicles owned by U. S. personnel.

5. The creation of obstructions to prevent the observance of points of interest while travelling, such as diverting aircraft; during freezing weather, water may be poured on windows of trains, etc.

6. The individual is detained for questioning by the authorities and refused the privilege of telephoning his embassy.

7. The local citizens detain, question, and summon the militia because of the alleged presence of an individual in an unauthorized area or for taking photographs of restricted areas.

8. The surveillance cars bracket in the vehicle of interest, thus preventing it from travelling at normal speed.

On the whole, there does not seem to be a fixed pattern of timing or severity to the provocations. Since the establishment of U. S. diplomatic representation in the USSR in 1933, and upon the recognition of the Satellite governments in East Europe after World War II, these activities have become a fact of life for the U. S. nationals stationed there, as well as for the non-official U. S. travelers. During periods of relative East-West tension, as well as during "thaws" in the Cold War, the number of harassments and their severity appear to escalate or to slacken off arbitrarily, often without any apparent reference to the overall state of Soviet/Satellite - U. S. relations at the moment. In short, the one thing that can be said with any degree of certitude about the timing of Soviet/Satellite harassments of U. S. nationals is that they will continue to occur as an accepted instrument of Soviet/Satellite policy.

The purpose of the action is varied but often times may be the developmental stage of the pre-recruitment assessment. Some of their objectives may be stated as follows:

1. To prevent or obstruct the overt collection effort of the U. S. military attaches.
2. To lower the morale and efficiency of the members of the U. S. Official Community.
3. To discover evidence of an illegal nature (particularly intelligence) whether it be by planting or provocation, on which a criminal charge may be based or an action of declaring the target "persona non grata."
4. To obtain or manufacture derogatory information about U. S. citizens or organizations which the Soviet and Communist international press and radio can exploit in the anti-American propaganda campaign.
5. To discover or fabricate evidence leading to the arrest and conviction of non-Bloc citizens whose release can then be offered by the Soviet/Satellite countries in exchange for Bloc spies sentenced in the Free World.
6. To set up for recruitment by provocation and entrapment through a real or fabricated blackmail situation.

7. To resort to a retaliatory measure following an action by U. S. authorities against a Soviet/Satellite diplomat for the commission of illegal activity.

8. To force the recall or reassignment of skilled U. S. personnel, thus causing needless expense and lessening the effectiveness of the U. S. mission's effort.

In conducting this study, the U. S. citizen in the Soviet/Satellite area was considered as falling into one of four categories:

- I. The Military Attache
- II. The U. S. Government civilian official assigned to the area PCS or TDY.
- III. The scientist/businessman who has access to classified information.
- IV. The non-official visitor such as tourist or student.

Perhaps the most general observation that can be made with regard to the four categories is that Group I is under almost constant surveillance; Group II is generally under surveillance; and Groups III and IV may or may not be surveilled depending on the status of the individual. Another observation is that a provocation involving sex is now most often used against those persons in Groups III and IV, whereas a decade ago sexual approaches were widely employed against Groups I and II. Provocations involving money exchange, blackmarket activities and induced blackmail seem to be currently used most often with those of Groups I and II.

Attached hereto are sanitized reports of provocation or harassment incidents directed against individuals in the respective groups. The actual country or date is not given since it is the modus operandi that is important here and that in itself has not shown signs of changing. It must also be remembered that many of the harassment and provocation examples cited could be applicable to persons in all four categories regardless of sex.

The best defense against the activities of hostile intelligence services against Groups I and II is to employ the highest possible criteria and standards for selecting personnel to serve behind the Iron Curtain. Once selected, the individual should be prepared for his assignment in the Soviet/Satellite areas by giving him and his dependents a detailed briefing. He should be told specifically about the tactics used by the opposition; forewarned and advised generally of the course of action to be taken in resisting them. It should further be conveyed to him that it is in his best interest to immediately report any attempt of provocation, harassment, entrapment, recruitment, etc. made against him. Also at this time, try to dispel any fear or worry that reporting an entrapment will forever subject him to security scrutiny. Advise him that the U. S. Authorities recognize the problems, will assist him and finally that he should not try to handle the problem himself.

In addition to briefing those persons in Groups I and II, every effort should be made to provide those individuals in Group III with a defensive briefing prior to their travel to a Soviet/Satellite country.

In conclusion, each person should be apprised of the following with respect to his personal conduct:

1. Behave more circumspectly than you would at home.
2. Know the general provisions of those laws affecting day-to-day living.
3. If arrested, keep insisting upon being placed in immediate contact with the U. S. Embassy.
4. Be ever alert to the possibility of audio surveillance in the home, hotel and office as well as to the use of clandestine photography.
5. Don't over-indulge in the use of alcoholic beverages.
6. Don't compromise yourself with a woman.
7. Don't leave yourself open for homosexual approaches.
8. Don't accept items for mailing or delivery.
9. Don't deal with blackmarketeers or any non-legal street vendors.
10. Don't comply with a request from an indigenous person to bring into the country books or magazines which the authorities could consider as being politically unsuitable or pornographic.
11. Don't attempt to be a one-man crusade against Communism while in their country.

Category I - The Military Attache

1. A member of the military assigned to the Office of the Military Attache in an Iron Curtain country reported to his superior upon learning of a proposed provocation attempt which was to take place against him. A young, attractive, indigenous female acquaintance and neighbor advised him that she had been approached by the Secret Police to carry out the following operation. She was to date the man and lure him to a specific hotel for the night. She was given a telephone number and code names with instructions to call one hour prior to their arrival at the hotel. She was further instructed not to drink; however, she was to induce the serviceman to drink heavily. The female neighbor was instructed to learn dates and destinations of the serviceman's travels, the names of individuals who visit his house, and to get to know other members of the staff with a view toward compromising them. She reportedly was told that the serviceman had a girl friend across the street from his house with whom he visited frequently. She was also informed by the police that the former Assistant Attache had operated a "spy ring" in the city and that the serviceman was known to have been an assistant.

The provocation did not materialize as the female neighbor made no attempt to carry it out. She apparently did not believe the stories told about the serviceman.

2. During a 2 1/2 hour period one day at the American Embassy located in an Iron Curtain country, the Military Attache, who spoke the local language, had three visits by indigenous personnel.

The first individual who came to the Embassy wanted to cross the border illegally into Germany. He had stated that he thought the Attache would know how to accomplish this and therefore was soliciting his assistance.

The second individual followed shortly thereafter and he handed the Attache a letter written in the local language. The letter concerned the alleged formation of an organization to fight the oppression by the Communist regime in an effort to obtain true freedom for the people. Attached to the letter was a note giving procedures for a clandestine contact between the Attache and members of the alleged resistance organization.

The third individual to visit claimed to be a construction worker, and offered to furnish the Attache with plans of 128 concrete bunkers around the Capital if they could meet in a "safer place" outside the Embassy.

In each of the cases the Attache refused to make any commitments or further contacts and the individuals departed. The Attache immediately reported the aforesaid approaches to the Ambassador.

3. U. S. Military Attaches, after having completed a visit to another city in the Iron Curtain country of their assignment, were at the airport waiting for their flight. It was called ahead of schedule and all passengers presented their tickets and instead of being led to the airplane, were taken to a waiting room. Upon arrival, a Lieutenant Colonel of the militia announced he had received a telegram advising that a dangerous criminal was attempting to board the flight. Following the announcement, two of the indigenous passengers were subjected to a cursory search. Then the militiamen turned to the Attaches who were shouldered brusquely to a wall and their luggage was forcibly wrenched from their hands. The proffering of diplomatic cards and passports with the insistence that diplomatic immunity be respected was waived aside. The Attaches were then forcibly stripped of all clothing and searched thoroughly. This event took place in full view of both male and female passengers. After some time, an announcement was made that the criminals had been captured; perfunctory apologies were then offered to the Attaches and the travellers were permitted to continue on their way.

4. An American Military Attache attended an official reception given by the Minister of National Defense of an Iron Curtain country. The affair was well attended by the local Generals and Diplomats. Within

an hour of the beginning of the reception, most of the Western Service Attaches had departed but the American Attache remained, hoping to have the opportunity to speak to one of the Generals. It became apparent after a short time that he would not be permitted to do this when two lower-ranking officers intended to monopolize his time. While there, the Attache ate nothing and confined his drinking to white wine. Thereafter, a waiter offered him cognac and when he refused it, the waiter became quite worried. The waiter offered it to him three times within ten minutes, practically imploring that the Attache take a drink. The Attache noticed that no one else was being offered the cognac, and he therefore continued to decline. Then one of the officers came up with two glasses of cognac and proposed a toast with the Attache. This was repeated within minutes by another officer. Following the second toast the Attache announced he was leaving. Steps were taken to detain him but he declined a further invitation and departed. Within thirty minutes of the last cognac, he was home and in bed. He was reading the newspaper when without any warning he began to vomit violently. There was no nausea and absolutely no warning. He was extremely weak and could not move from the bed to the bathroom. Thirty minutes later the Attache's strength returned and the following morning his throat was raw and the palate enlarged and swollen.

Category II - U. S. Government Official

1. An American official in a post behind the Iron Curtain, while on a trip to an outlying area of the country, was approached on the train by a young female national of that country who asked if she could sit in the same compartment. He allowed her to do so and during the course of their travel learned that she spoke English and "by chance" was traveling to the same destination as he. The next day "by chance," he again saw her while walking through a nearby park where they renewed their acquaintanceship which ultimately developed into an affair. On subsequent visits to that city, he spent the nights with her in her apartment. On his last visit to that city in the late evening while he was in her apartment, there was a loud knock at the door; the door broke open in the best Hollywood fashion and an individual playing the part of an outraged husband accompanied by another male stormed into the room. The male companion of the husband put on an act of attempting to restrain the alleged husband from beating up the American and finally took the alleged husband and wife into another room where sounds were heard as if the husband were beating the wife.

In the meantime the friend of the husband came into the bedroom and proclaimed in a loud voice that he was going to make a phone call. In a few minutes an officer of the local intelligence service arrived and

said he was there to help the American out of the difficulty he was in. The officer asked the American if he had been involved with any other females of the country and if he realized that the woman he was with was married. The American answered that he did not know she was married and had not been involved with any other woman. The officer then produced an envelope with a large number of compromising photographs and threw them on the table in front of the American. The photographs showed the American not only with the woman present but with other females of the local country. The officer then told the American that his service had been watching the American for a long time and that they would help him get out of the trouble he was in if he would cooperate. The officer proceeded to threaten the American stating that he would ruin his career and his family by showing the photographs to his employer and his wife unless the American agreed to cooperate, but this was all to no avail.

A short time later the American was approached again and more pictures were produced and more threats made. The American's reaction was again negative and he then reported the events to his superiors.

2. An American employee assigned to the United States Embassy in an Iron Curtain country met an agent of the opposition, a businessman, soon after his arrival to his post. After six months the American finally

accepted one of the many invitations from this agent. The American and the agent had dinner at a restaurant, then went to the agent's hotel room where the agent had invited two girls to join them. The American was intimate with one of the girls on this occasion and again under the same circumstances two months later. Compromising photographs of the American and the girl were made on both occasions.

Some time later the American met an officer of the local service who was posing as a French businessman. Soon thereafter the latter invited the American to his plush hotel suite where two girls were waiting. The American was intimate with one of the two girls on this occasion. As the American was departing he was called into another room on the same floor of the hotel where three officers were waiting. The officers interviewed the American for about fifteen minutes and stated that they were "soliciting his cooperation." They were aware of the American's plans to retire and since he would be needing money, they stated that the American could name his price, placing a stack of American dollars before him. The American refused the offer and before they could proceed, someone came to the door and said that the Embassy was calling the American. One of the three officers drove the American back to the vicinity of the Embassy and said to him as he left the car: "You'll be sorry if you doublecross us."

Category III - The Scientist/Businessman

An employee of a large well known corporation which has classified contracts visited an Iron Curtain country to attend an international mathematical conference. At the conclusion of the conference, he stayed on in the country to work as an "exchange" for six months. During this time he had planned regular visits to see his wife and children who were residing temporarily in a Western country in Europe.

While in the Iron Curtain country, the businessman became acquainted with a number of indigenous people, one of whom was a taxi driver. The latter was able to get the American to trade money from the Western country where his wife was located for the local currency. This same taxi driver introduced the American to a young lady with whom he had an affair. Some time later both the American and the young lady went to a private doctor for treatment of the same medical condition.

Just prior to his planned trip to see his wife, the taxi driver asked the American to bring back some pornographic material for him. Although the American knew it was against the law he agreed to do it believing that he would have no trouble getting it by the Customs Officials since they had made only cursory searches in the past. On his return, the American's luggage was given a very thorough inspection and 5 magazines were confiscated. In seizing the material, the Customs officials had the American sign a document

acknowledging the aforesaid act. The American had made the observation that the Customs man seemed to recognize him and also that he had his name on a list along with others.

Upon returning to his room, he received a call from the taxi driver advising him that he would be arrested soon. He also stated that he had confessed to the police, the money dealings he had with the American and learned that other accusations would be made against him. The American became worried but did not go to the U. S. Embassy since he did not believe he would be arrested. At a subsequent time, he did recall having heard the taxi driver state that he reported to the secret police on a regular basis.

Shortly thereafter and on the same day that he received the telephone call, he was arrested and accused of, 1) illegal money exchanging; 2) importing pornography; 3) transmitting VD knowingly; 4) passing unfavorable propaganda,

During his interrogation he was threatened with 3 years at hard labor on each count and that he could save himself by working with them. He was questioned specifically about the security people at the embassy; the security at his place of employment; did he receive a briefing prior to his coming to their country; where had he learned to speak their language so well; what classified work was he involved in; etc. The fourth accusation was based upon his giving out three copies of the Warren Report.

Without warning, the interrogation was abruptly ended and they told him he would be returned to his hotel but that he would have to meet with them within three days. He was taken to his hotel that night and the next morning he went to the U. S. Embassy and reported everything. He was kept at the Embassy until an exit visa was obtained for him and he departed without further incident.

Category IV - Non-Official American

1. A group of tourists were visiting a city in an Iron Curtain country and among them was a young girl who had native fluency in that specific language, having spent her childhood there. As the group returned to the hotel, the girl overheard a repairman telling the key girl that he had to go into two rooms to fix the telephones. The telephones had been in perfect working order at the time and it was therefore assumed that this was a guise for making an adjustment to a listening device. During the group's visit, various members received telephone calls during the night. Usually the caller would say in the local language that he had the wrong number or would ask for someone who was no longer in the room. After some time, the group refused to answer the calls at night.

During one evening one of the men was approached in the men's room by an indigenous man who spoke in excellent English. The "local" inquired if the tourist was American and then explained that he wished to exchange local currency for dollars. The tourist answered that he had no U. S. dollars with him at that time. The "local" said that it did not make any difference and he took several bills from his pocket, offering them to the American and urging that he take the bills now and return later with the dollars to a place where they could agree on to meet. The tourist suspected a trap and therefore told the man that he had already exchanged all the money he needed and was not interested in more. The "local" left and was not seen again.

2. Two optometrists arrived at their hotel for five days of studying and comparing the techniques in the field of optometry. The two went to breakfast the morning following their arrival and found all tables occupied. A young indigenous man was sitting at a table with four pretty girls and motioned for the two Americans to join them. The man spoke English and introduced the girls who indicated that they hoped to see the Americans again. That evening the Americans again saw the same indigenous man, called Alex, in the dining room of the hotel. At that time he advised he had been in the Merchant Marine and on trips to Seattle had improved his English. During that session Alex became very boisterous, using English profanity and stating that he had nothing to worry about as he could speak as he pleased. The Americans feared an incident and tried to leave. However, before leaving Alex told them that he was very influential, important and well-to-do.

On the next to last night in the city the two Americans met Alex on the street in front of the hotel. He offered to take them to a restaurant where the food was much better than in the hotel dining room. He also stated that he could borrow his brother's car which was parked a short distance from the hotel. Alex was wearing a slick sable Russian-type hat and he offered to get one for the American who evidenced interest in it. The Americans accompanied Alex to the car and when they entered same, noted the windows were all steamed up. Alex drove the car a short distance,

stopped the car on the wrong side of the street, and began once again to criticize the local society in a loud voice. In addition, he offered to sell local money for U. S. dollars.

During the ride one American sat in the front and the other in the back. They were both startled at the turn of events and hardly knew what to do, but protested that they had no use for more local currency and furthermore had no U. S. dollars. Alex continued to insist louder that they make the purchase and finally he took out a quantity of bills, some new and in packages yet, and threw same onto the back seat. At that moment the car doors on each side were flung open, and Alex literally disappeared from sight. It was not known if he was jerked out of the car or if he sprang out himself. At that same moment they were pressed in at both sides by huge men in civilian clothing. It was an obvious arrest although, due to the language barrier, the Americans did not know what was going on. They were driven in Alex's car to a building in the vicinity and taken into a room where a man in civilian clothes sat behind a desk. There were no uniformed police at all. Through an interpreter, the men were interrogated and the answers were taken down by the man at the desk. The Americans were advised that Alex was a known criminal whom they had been watching for some time. They said he had confessed to everything and that the Americans had approached him for a blackmarket currency sale. The accusation was denied by the Americans and they requested permission to call their Embassy. Permission was denied. The two Americans were then separated

and each was interrogated separately. The questioning centered upon the brief relationship with Alex and the interpreters were repeating that it looked bad for the Americans. After five and one-half hours of interrogation a statement in the local language but verbally translated was submitted to one of the men for his signature. The translation was basically what the American had stated. The Americans then prepared statements in English which they signed. Before being released, the Americans were warned not to mention the arrest to anyone; they were also threatened that it would be bad for them, their country and their families if any word leaked out about the arrest. With that, they were released and permitted to return to their hotel. The next morning the Americans departed via the first plane destined to a non Soviet/Satellite country.

3. An American Professor arrived in an Iron Curtain country to collect material for a book, having previously stated his plans in his visa request and in his letters to the various local academicians who had agreed to help him. From his arrival until his arrest he was subjected to a series of provocative incidents, which began when an attractive young waitress invited the middle-aged American to take her out that evening. Soon, he met the usual disenchanted local writer who voiced his complaints against the local economy and other facets of the life under the communistic system. A young lady friend of the disenchanted writer just happened to be the American's seat companion on his flight to another city and offered to show him around. While there, the American encountered several "locals" who invited him to drink beer with them. When the American declined, they

insisted he join them for coffee in a local cafe. When there was no coffee available in the cafe, one of the two new "friends" went to the kitchen to prepare coffee and returned with a foul-tasting brew. The American then went to the circus as he had planned to do and less than 45 minutes after drinking the coffee, he had to leave the circus because he was so ill. Outside, he met the owner of a chauffeur-driven vehicle who sent him to the local hospital where he was to remain for four days. Next, he was subjected to the ministrations of a talkative drunk who was his seat companion on another flight. Finally, the American arrived at his hotel where he was to meet a friend for dinner. As he left his car and was walking toward the main entrance of the hotel, a young stranger approached him, asked if he were an American, thrust a neatly wrapped package into his hands and turned away. The American, who automatically took the package, was immediately seized by two men and dragged to a parked car. Handcuffed and placed between two plainclothesmen, the American was driven to the local Militia Station where he was accused of espionage and questioned for several hours. At midnight he was taken to a secure inner prison where he was to remain more than two weeks, isolated from the rest of the world and under constant interrogation. The actual charge against the American was that the material which had been thrust at him on the street contained photographs of military installations and missiles, and therefore he was guilty of espionage.

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Only a strong official protest saved this individual from a public trial and possible prison sentence.

4. A young American visiting in the capital city of one of the Iron Curtain countries made a trip to an outlying city with a young American girl in his party. They stayed overnight together at a hotel in the outlying city and while there visited a local theatre where a musical performance by local nationals was staged. During the intermission the individual sitting next to the young American man left his seat and the seat was taken subsequently by a local male national who "by chance" spoke English and was carrying an American publication openly and obviously. He engaged the young American and the girl in conversation and it subsequently developed that he also "by chance" was staying at the same hotel as they. He walked back to the hotel with them and invited the young man to join him in his room for a drink. The young American man did so a short time later and found the local national dressed in pajamas; he made an obvious invitation of homosexual nature which the young man declined. The local national continued to engage him in conversation for a few minutes. This was followed by the opening of the closet in the room and two local nationals, one of whom was carrying a camera, came out. They accused the young American male of "illegal activities" without being specific and stated that his conversations and activities were recorded on tape. They further

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advised him that they were with the local security service and pressured him into signing a statement written in the local language, the nature of which was not clear to him at the time. He was then allowed to return to his room. The following day he was called to a local police station where he was shown a statement which was the English version of the one he had signed previously. The statement in English read that he would cooperate with the local intelligence service of that country on his return to the United States. He again signed the statement, purportedly out of fear of arrest and incarceration in case he refused to do so. He was told that he would be contacted by the intelligence organ of that country in the United States, and that contact would be made at his home address.